OFFICE OF THE COMMISSIONER OF INSURANCE

2003-05 IT STRATEGIC PLAN

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Connie L. O'Connell
Commissioner

Team Members

Phil Kress, Committee Chair, Bureau of Market Regulation, P&C Insurance Section, Chief
Marcia Elliott, Staff Services Section, Forms/Web Support
Sue Ezalarab, Bureau of Market Regulation, Director
Mike Honeck, Bureau of Market Regulation, Health & Life Insurance Section, Chief
Jackson Ellis, Information Services Section, Database Administrator
Matt Berigan, Services Section, Records Management Program Supervisor
Laurna Landphier, Bureau of Market Regulation, Agent Licensing Section, Chief
Bob Luck, Legal Unit, Attorney
Randy Milquet, Bureau of Financial Analysis and Examinations, Insurance Financial Examiner - Advanced
John Montgomery, Division of Administrative Services, Deputy Administrator
Steve Nickell, Information Services Section, Project Leader
Guenther Ruch, Division of Regulation and Enforcement, Executive Sponsor
Yvonne Sherry, Bureau of Financial Analysis and Examinations, Records Management Supervisor
Mary Sprague, State Life Insurance Fund (SLIF), Insurance Program Officer
Clare Stapleton Concord, Division of Administrative Services, Executive Sponsor
Theresa Wedekind, Patients Compensation Fund (PCF), Insurance Program Officer
vacant, Information Services Section, IT Director

Introduction

The Office of the Commissioner of Insurance (OCI) updated its Strategic Business Plan in the spring of 2002 and confirmed that the mission of OCI is to lead the way in informing and protecting the public, and responding to their insurance needs.

The OCI mission statement provides the context in which OCI goals and strategies are formulated, depicts the scope and direction for the agency, and provides the framework within which managerial decisions will be made regarding programs, proposed legislation, and administrative goals.

One of the goals established revolves around technology. "OCI will use appropriate technology to provide tools for the regulation of insurance." To accomplish this goal we will:

- Continually review emerging technologies and conduct cost-benefit analysis for applications in OCI;
- Encourage office-wide participation in technology planning and implementation such as through the Information Technology Strategic Planning Committee;
- Improve state regulation and service by implementing use of technology to facilitate the sharing of information with other regulatory authorities and consumers;
- Provide opportunities for staff to research and develop new approaches to optimize the use of technology.

The OCI Strategic IT Plan was first published in November of 1994; updated in 1996, 1998, 2000 and 2002. The plan was further updated in October 2002 to list the IT projects remaining to be completed from FY03. The IT Strategic Planning Committee (committee) meets once a month to monitor the plan's progress and to develop recommended priorities for IT resources. Management has placed considerable value in this committee effort.

The acronyms IT and IS are used throughout this document. IT means "information technology" and refers to the use of computers, telecommunications, and national databases to gather, review, and store information to assist meeting the responsibilities of OCI. IS means "information services" and refers to the specific work unit within OCI that programs and maintains the software and hardware at OCI.

In the spring of 2002, in preparation for this updated IT plan, the committee reviewed the 2000 plan and considered what had been accomplished, as well as the viability of remaining projects.

The following had been achieved from the plan:

1) Implemented the Complaints Tracking system;
2) Implemented the COSMOS Regulatory System modules for Producer, Rate and Form Filing, Revenue Management, and Company Information, including reports for billing and revenue and reports to analyze rate and form filing activity;
3) Achieved accomplishments in all areas of regulatory technology to receive the NAIC's Uniform Regulation Through Technology (URTT) Award;
4) Implemented the Premium Tax Payment Processing system;
5) Installed a new server for the COSMOS system;
6) Upgraded laptops purchased and delivered to Financial Examiners;
7) Completed the Document Management systems for SLIF, Producer, Rates and Forms, and Company;
8) Installed and implemented TeamMate 2000 for the financial and market conduct examination process;
9) Initiated a process for reviewing progress and completing enhancements for the implemented projects;
10) Completed the Internet Web Site rewrite and incorporation of a user-friendly URL (oci.wi.gov); and
11) Completed IT project management procedures.

The group then considered the updated Business Plan and discussed potential new projects, considering the current regulatory and budgetary environment. Projects were defined in detail to allow for greater understanding of the breadth of each project. This will help prioritize the projects and assist in the monthly updating of the List of Strategic Projects

The plan is organized around the four focus points of IT architecture; technology, applications, data, and organizational; following the standard methodology selected by the State. Architecture, as the word suggests,

provides a design and a blueprint for construction. In this case, it is a blueprint for state of the art IT at OCI. IT in this plan includes technology (hardware, operating system software, voice, data, office systems, telecommunication systems, and standards), applications (automated processes or systems), data (numbers, text, images, graphics, etc.), and organization (the human resources used to support computerized systems and hardware).

The plan consists of seven major parts: an introduction, an executive overview, an IT vision, IT principles, the four architectures, a list of strategic projects, and the project specifications. The plan builds on past accomplishments and on many projects currently underway. It also seeks opportunities to partner with other state agencies or do projects on an enterprise basis.

An example of a project currently being done through a consortium of agencies including OCI is the E-government Rule Making Project -- Phase 1. The mission of this project is to increase public participation in rule making while concurrently improving the efficiency and effectiveness of state government. Persons with Internet access will be able to review new rules that an agency is proposing, comment on those rules and review other people's comments, and receive e-mail on administrative rule topics of interest to them. This project may be a good model for future projects of interest to many agencies.

The OCI Strategic Planning Committee is sponsored by two division administrators and is advisory to the Commissioner. This plan once completed by the Planning Committee is presented to senior management for their consideration and approval.

This is a dynamic plan. It is the intention of the committee to maintain flexibility and encourage a process for change. The plan will be formally reviewed at least once a year. The list of strategic projects and their priorities will be reviewed monthly by the committee. Changes will be incorporated and new directions published. OCI will review requests for IT resources relative to this planning process.

It is important to note that much, if not most, of this plan depends on securing funding via the biennial budget process. The plan as written assumes full funding. When the biennial budget process is concluded in the summer of 2003, adjustments will be made as necessary.

Executive Overview

OCI continues to aggressively infuse technology in order to provide better and more efficient service to its internal and external customers. The commitment to the use of technology is a key strategy in the agency's business plan. This commitment is based not on technology for technology's sake but on an overall understanding by agency staff that technology can be used to improve staff efficiency and effectiveness and therefore service to the public.

In past years, the committee recognized the technology architecture in use at that time needed to change and evaluated the alternatives. A client/server backbone for hardware and Delphi/Oracle software development was chosen. This has been put in place. In this plan, the emphasis is on converting and implementing additional applications and beginning to analyze new delivery concepts to assist OCI in meeting its responsibilities and serving its broad customer base.

This means that each application provides information to a common OCI data base, while allowing access to public data. As the access to OCI data becomes evermore possible on the Internet, security systems need to be in place to secure the hardware, data, and network systems.

OCI's technology infrastructure has incorporated Storage Area Network (SAN) hardware and software. This technology allows for fewer servers to access more combined data space. No longer do we need one server and disk space for each type of application. This will improve the return on technology investment, as only disk space needs to be added in the near future. Return on investment will continue to be studied to make sure that OCI is using base infrastructure and biennial budget request money in a cost-effective manner.

The strategies listed under each architecture below are the steps OCI will take over the next years to improve on technology, return on investment, and systems which make business partners more productive by streamlining processes and giving them control of the data needed in their job.

Technology architecture refers to hardware, software, systems, methods, and standards that an organization uses to develop and operate computer systems. It includes computer and telecommunications equipment, operating systems software, communications software, office support systems, methods for developing and maintaining systems, and the organization's technical standards.

- Explore the use of Windows 2000 Servers. The direction of the state is to install this product for use in the Enterprise State Directory.
- Review current versions of Windows operating systems to determine how OCI should upgrade its current Windows NT operation system. OCI is currently placing Windows 2000 on new machines.
- Explore the use of current Microsoft office suite software . Determine features that OCI believes will improve productivity.
- Continue to use Delphi as the development platform and explore the use of J2EE. The goal is to allow for reuse and therefore quicker development of applications, producing ongoing savings.
- Develop a Web Architecture that conforms to agency technology standards and establishes a flexible environment in which appropriate integration can be utilized to meet citizen and business partner needs via the Web.
- Continue the attention to security. Add features as needed to provide security to hardware, networks, data, public information, the Internet site, and the Intranet site

Application architecture refers to the automated processes or systems that an organization uses to support its programs and to provide service to its customers, employees, and the general public. The application architecture also includes the interrelationship among applications in terms of sharing data, access to applications, and the presentation of applications to users.

- Finish converting legacy applications for regulatory functions. Those systems include Financial Analysis, Financial Data Entry Interface, and Legal.
- Convert the Examination Assessment application.
- Explore and implement the use of third-party vendor software for quick delivery of Producer and Forms data to the NAIC NIPR and SERFF systems. The COSMOS system is currently used for producer regulatory operations, insurance company licensing and filing activity, and rate and form filing tracking.
- Explore a Fax server addition to the Complaints system and then add additional projects once success is demonstrated.

- Interface OCI data with NAIC Data. Interface, as required by statute, OCI data with other state agencies such as DOR, DFI, and DWD.
- Microsoft Access is the query and report tool used for business partners because it can access data easily. Training will be developed so that business partners understand the Oracle database and how to use Access to its fullest potential for ad hoc information retrieval.

Data architecture refers to the collection, organization, or design and management of data (numbers, text, graphics, images, voice, etc., from the business and information technology perspectives). It deals with developing a plan or "model" of how the data should be organized to support the business requirements and subsequent building and managing of data structures according to that plan. Data administration refers to the administration of the plans and "models" of the data architecture while data management refers to the overall management of the actual data (where and how data is collected, maintaining its accuracy, where and how it is updated, appropriate security and privacy controls). Both terms refer to IT and business area perspectives, that include a growing awareness that program staff have the best knowledge of the data and their use.

- Future projects will add new data to OCI databases.
- Imaging is being utilized to store and manage some of the data. Continued use of imaging will allow business partners to deliver enhanced services to their customers.
- A data model has been created and will be kept current with changing needs.
- The data structure for the systems used for producer operations, rate and form filings, invoice and revenue collection, and company license information is provided by the COSMOS 3rd party vender software.

Organization architecture refers to the resources available for the implementation of information technology, the allocation of those resources from an organizational perspective, and how they are used in support of the organization's mission.

- Continue reviewing the office's IT organizational structure to maximize the value of the office's internal IT resources.
- Continue reviewing the merits of outsourcing IT functions vs. securing in-house staff resources as new projects are considered.

The IT Strategic Planning Committee continues to monitor this plan and submits recommendations to management for possible new approaches to solve problems.

It is important to note that much, if not most, of this plan depends on securing funding via the biennial budget process. The plan, as written, assumes full funding of on-going IT needs and special projects, which was not the case during the 2001-03 biennium. When the biennial budget process is concluded in the summer of 2003, adjustments will be made as necessary to match project priorities with available resources.

Strategic Issues

A number of strategic issues relating to the use of IT in the agency follows:

1. **What is the optimal hardware for OCI?**
   Hardware needs must be continually analyzed. Hardware must follow a standard for connectivity and openness. Using the biennial budget process, funds need to be secured to replace hardware as it becomes obsolete relative to current applications. It also includes payment of software maintenance contracts in a timely manner.
2. **Should OCI continue to consider contracting with third-party vendors for regulatory system software?**
   During the most recent biennium, OCI, after much analysis, concluded that engaging the services of an outside vendor to move its producer licensing, rate and form filing, company, and invoicing systems from an out-dated WANG-based system to an Oracle-based system was the most cost-effective step to take in order to accomplish such a move successfully, and in the quickest period of time. To date, the project has been successful and the processing systems mentioned earlier were moved to an Oracle-based system in six months. OCI will continue to evaluate all options in its decision-making process for new or upgraded regulatory systems, including third-party vendors and internally-developed systems. Over the next biennium OCI will explore actively partnering with third party venders to meet OCI regulatory goals.
3. **How should connectivity and integration be a part of OCI's Strategic IT Plan?**
   Integration is part of the planned data and application work. The committee also feels that cost/benefit analysis must be performed as each new tool is developed or purchased. The emerging issues needing development include security and expanding access to data and applications.
4. **How does the Internet impact OCI?**
   The Internet offers unique opportunities to make OCI services and information readily available to the public as well as reducing costs. It also presents additional regulatory challenges because of the inherent openness and easy access and use. OCI staff will continue to evaluate Internet and Intranet alternatives for all information-centered projects and identify regulatory issues along with resource and technological requirements to properly interact, monitor, and regulate insurance activity over the Internet.
5. **What is the optimal IT organizational structure for OCI?**
   In the current evolving regulatory and Information Technology environment, OCI needs to continually evaluate its IT organizational structure to maximize efficiency, value and flexibility.
6. **To what extent should internal and external demands for information be considered or influence the OCI Strategic IT Plan?**
   Prior plans emphasized projects to address the office's internal demands for technology, data, and applications while recognizing the potential for external demands for OCI information. The committee will focus on external access to OCI data and services within each business area application, considering the Internet as a means to achieve such access.
7. **How will OCI manage change brought about by IT developments, including training, dissemination of information on changes, and operational impact?**
   Staff needs to be included, as early as possible, in the implementation of change so that they can contribute to the change process and be aware of changes before they occur. All staff needs to know the reasons for change and exactly how the change will affect them.
8. **Does OCI have a contingent continuity plan?**
   OCI has a Disaster Recovery plan in place. The plan was tested in the fall of 1999. The plan is being upgraded to reflect continuity of business operations in the event of any type of disaster whether it is one system or the whole agency. Recovery of data for each new system designed is a priority. The agency goal is to have data available 99.9% of the time. Additionally, the office has set a standard for LAN availability at 99.9%.
9. **What does IT use as standards?**
   Generally, OCI uses the standards developed by the State through the Department of Electronic Government. OCI also has an IT Standards Committee that is responsible for monitoring the requirements of OCI for any software or hardware product. OCI is exploring development standards

and tools, such as the J2EE Java standard. The appropriate standard can allow for efficient development of applications, including Web applications.

Vision

Future IT Environment Vision

The vision for IT at OCI was developed to project into the future an environment that would deliver needed services to OCI staff and outside parties. The vision for IT is to support and align projects with the OCI Business Plan and the needs of the business partners.

The specifics of OCI's future IT environment are directly linked to the agency's strategic business plan that provides the programmatic framework for all OCI work. Over the last 10 years, the IT environment at OCI has developed rapidly, but always with the focus on the needs of OCI's business partners (our program administrators and employees) . By practicing strict strategic alignment of IT resources with programmatic priorities, OCI has achieved a match between business partner needs and technical sophistication.

To create the envisioned IT environment, the IT Strategic Planning Committee identified six key aspects to be embodied in the OCI IT environment. Several of these aspects are already present and have been critical to the success of the office's current work. Others are evolving as the OCI environment changes to meet the needs of the programmatic business partners. The following points outline the six aspects that the IT Strategic Planning Committee believes to be critical.

1. **Principles of staff involvement and a focus on business needs are used in IT strategic planning and staff training.**
    - OCI's IT Section has well-documented architectures using standards developed and agreed upon through the IT strategic planning process.
    - OCI has a productive work force, well trained in IT specifically appropriate for them.
    - Planning sessions are held regularly with business partners.
    - OCI has an active and productive IT planning process which monitors and ensures that all IT planning conforms to the Strategic IT Plan.
    - OCI staff understands the goals of the Strategic IT Plan.
2. **OCI's IT organizational architecture facilitates responsiveness to business partner needs.**
    - The IT Strategic Planning Committee is comprised of business partners and IT staff.
    - IT resources are available to support the business partner needs, including outsourcing, if appropriate.
    - Designated primary and backup IT staff are assigned to support specific business activities.
    - IT staff are knowledgeable about the business activities they support.
    - Business partners are knowledgeable about IT, as appropriate.
    - OCI's IT Section communicates with its business partners facilitating responsive and smooth operations of the various processing systems.
    - OCI's non-IT work force communicates with the IT Section ensuring that OCI's technology is properly leveraged for efficient and effective operations.
    - IT staff responds in a timely way.
3. **OCI's business processes and new development in IT will continually be reviewed.**
    - Workflow is analyzed and results are included in every business system redesign.
    - IT models will be reviewed for replication in other areas.
    - Research and development of emerging technologies will be performed and reviewed to enhance the business process.
    - OCI will consider the purchase of regulatory system software from third-party vendors.
    - OCI will work with other state insurance departments through the NAIC or individually, where appropriate, to leverage and share expertise in areas of common interest.

4. **Employees have access to all applications, data, and technology tools necessary to perform their job.**
    - OCI has appropriate systems in place to allow staff to carry out their duties in the most effective way possible.
    - Data is complete, secure, accurate, and efficiently stored and retrieved.
    - Employees have the ability to customize applications, where appropriate.
    - Employees have appropriate hardware and software that is maintained, upgraded, and replaced on a scheduled cycle, as appropriate.
    - OCI employees are sufficiently trained to utilize IT tools to perform their jobs in an appropriate and effective manner.
5. **OCI uses electronic communication as a business tool.**
    - OCI strives to provide convenient and reliable access to electronic delivery of government services, as directed in Executive Order no. 408.
    - OCI has access to external databases.
    - Data is collected and edited electronically wherever feasible.
    - Routine data exchange is performed automatically.
    - An electronic interface is used for regulatory purposes where appropriate.
    - Telecommunications are used for exchange of information generated by staff away from the office.
    - The Internet and other electronic means of communications are used to make information readily available to the public.
    - Customers may communicate with OCI electronically.
    - Telecommunications utilize state of the art technology as appropriate. (Telecomm Report)
    - The Internet is an integral component of OCI's communication and data gathering plans.
6. **OCI has a continuity plan in place and practices situation recovery.**
    - OCI and its third-party vendors have plans that address short-term and long-term interruption in operations.
    - OCI and its third-party vendors have plans that allow OCI staff to continue to perform their duties and responsibilities with as little interruption as possible.
    - OCI and its third-party vendors have backup procedures which includes off-site storage of applications data.
    - OCI's IT continuity plan is fully integrated with the office's continuity plan.

Information Technology Policy and Principles

The following policies/principles were developed to guide the use of information technology.

1. **Development must use flexible systems concepts to ensure integration, connectivity and compatibility.**
2. **Development shall address the needs of all internal and external customers.**
3. **Standards must support established architectures.**
    - Where state standards exist, OCI will comply.
    - Standards shall emphasize compatibility rather than specific products.
    - Standards shall be updated and changed as needed.
4. **Employees shall have access to the technology, data, and applications required to do their jobs as effectively as possible.**
5. **Technologies are supported throughout their life cycle and**
    - Are treated as an asset that is planned for, budgeted, and amortized over their life cycle,
    - Are vendor- and staff-supported, as appropriate,
    - Are adequately documented, and
    - With respect to hardware, are replaced on a life cycle schedule.

6. **Architectures shall be appropriate, flexible and adaptable to change.**
7. **Project planning shall conform to the OCI Strategic IT Plan.**
    - Cost/benefit analysis will be done in deciding on any project.
    - Project planning shall involve the business partners and will include due consideration concerning the impact of the project development on their normal duties.
    - Project planning will include pilots or phased-in implementation, as appropriate.
    - The OCI Strategic IT Plan shall be consistent with the goals established by the OCI Strategic Business Plan.
    - Data integrity is effective and user friendly.
    - System security is adequate and in place.
    - Project planning will include a review of third-party vendors.
8. **Planning must ensure optimum use of human resources.**
    - Training time for staff shall be included in all plans.
    - Training policies are put in place.
    - Project specifications shall include training.
    - Ergonomic considerations shall be incorporated.
    - Employees IT training needs are evaluated yearly.
9. **Business resumption procedures are in place and tested.**
10. **IT staff is responsive and responsible to the needs of OCI employees.**

Technology Architecture

The ***technology architecture*** refers to hardware, software, systems, methods, and standards that an organization uses to develop and operate computer systems. It includes computer and telecommunications equipment, operating systems software, communications software, office support systems, methods for developing and maintaining systems, and the organization's technical standards.

Current Technology Architecture

- The current technology consists of separate hardware platforms and their respective operating system software. The technology platforms are: Compaq servers running Microsoft Windows NT server operating systems and Oracle for the common databases.
- An RS6000 for the State Life Insurance Fund (SLIF) and its Flexible Insurance Marketing, Management and Administration System (FIMMAS).
- A Storage Area Network (SAN) for storage for the Oracle databases and image files from the imaging applications.
- A Compaq server running Microsoft Windows NT serve operating system for the Patients Compensation Fund (PCF) to run the Claims and Provider systems. Staff at Employers Insurance of Wausau connect to this system using a Virtual Private Network (VPN).
- Two Novell NetWare servers used for file and print services.
- Microsoft Office 97 software suite, for all OCI staff, which is composed of the following packages: Word, Excel, Access, and Power Point.
- Outlook 98 connected to a Microsoft Exchange 5.5 server for e-mail and scheduling functions. The Exchange server has connections to the State enterprise Exchange server.
- Microsoft Internet Explorer as the office's web browser.
- A CISCO PIX firewall for protecting the OCI network from attacks originating from the Internet.

OCI continues to improve on the common Oracle database and Delphi programming components. The staff has been trained to use these tools. The imaging projects use Image Lib to view the images. A Delphi system is written to access and store the data in an Oracle database. This promotes the efficient completion of imaging applications.

OCI adopted the Microsoft office suite in April 1994. At that time, OCI identified all of its staff as "knowledge workers", according to the DOA standard. At this time, all staff members have a PC attached to the OCI LAN. All desktop PCs are at the minimum level of: 700 MHz Pentium III CPU, 256 MB of memory, 19 inch monitor, and running Microsoft NT 4.0 Workstation operating system. Mobile users have IBM laptops with a minimum configuration of: 933 MHz Pentium III CPU, 256 MB of memory, and 14.1 active matrix screens. As staff uses the new equipment, ergonomics of the workplace will be monitored and adjusted as needed and appropriate.

The LAN environment at OCI includes all the external entities that OCI communicates with or plans to communicate with electronically. All desktop and laptop computers are connected to the OCI LAN, which provides access to all external entities as well as printers or other devices that are attached to the LAN. Computers are attached to the LAN using a combination of TCP/IP and IPX/SPX protocols over an Ethernet network.

Future Technology Architecture

OCI has a base budget amount for infrastructure investment. This amount was determined using the DOA/DTM IT Infrastructure model. Each biennium the OCI technology infrastructure will be reevaluated to determine the adequacy of the base budget amount. The budget process will be used to ensure that OCI's technology base is maintained and updated, as appropriate. This will ensure that OCI can continue to serve the citizens, insurance industry, and the State of Wisconsin at a level that has become expected of OCI.

Each future project will analyze the best information delivery method available. One assumption is that Internet technology will be considered as a means to make information available. Data is made available to remote users with the use of a browser. This will require OCI to either have a Web server with a "firewall" for security or arrangements with the Department of Electronic Government or Department of Administration to facilitate the use of this technology. Other projects may require an application to include dial-up access. Internet technology will continue to be used internally for communications, and office policies and procedures (Intranet). E-form technology will be included to facilitate form filling and data flow. Desktop and laptop operating systems will be upgraded to the Microsoft Windows 2000 operating system.

Remote computing will be expanded for OCI activities, company submissions, agent filings, and public information needs. Communications with the office will continue to be upgraded. The Internet and Intranet will be used for communications. E-mail will migrate to the State Standard for State Directory Services.

For remote computing within the confines of the physical office, OCI will explore the use of wireless network access. Such a possibility would allow access to important information during meetings and while working as teams on projects. Security appropriate for a wireless system would also be implemented.

Server operating systems will be upgraded to Microsoft Windows 2000 after the State has implemented Directory Services which will be required for future upgrades to e-mail servers.

SLIF's RS6000 will be replaced by server architecture.

Desktop and laptop computers will be upgraded with the newest Microsoft Office Suite Software that is compatible with existing applications. This will provide newer and expanded tools for employees to perform their jobs.

Novell Netware servers will be eliminated to only have one network operating system. Services provided by the Novell Netware servers will be handled by a Windows NT server.

OCI’s telecommunications infrastructure will also be analyzed and recommended improvements will be considered for implementation, either before or after the agency moves to the GEF III building.

As the technology architecture evolves, security will continue to evolve to protect the information assets of OCI. OCI will look to DEB to provide enterprise level leadership in this area. OCI has a very good security record, but as the office uses more Internet applications in its business, security will continue to evolve to provide the same high level of protection. This may involve enterprise level as well as local implantation of security measures.

Application Architecture

The ***application architecture*** refers to the automated processes or systems that an organization uses to support its programs and to provide service to its customers, employees and the general public. The application architecture also includes the interrelationship among applications in terms of sharing data, access to applications, and the presentation of applications to business partners.

Current Application Architecture

Major parts of the current applications are not fully integrated. The current application architecture is not fully integrated because of the different technology platforms at OCI; the Funds, by statute, are segregated from the regulatory operations of the office and do not share business operations data. OCI is achieving the benefits of integration by using Oracle data and periodic refreshes of data. However, certain administrative operations such as expense vouchers, purchase order forms, and payroll apply to the Funds as well as the regulatory arm of the office.

OCI's application architecture by technology platform follows:

Oracle/Delphi

- Complaint tracking
- Producer Document Management
- Company Document Management
- Policy Form and Rate Filing Document Management
- SLIF Document Management
- Premium Tax
- Commissioner's Annual Report

Oracle/COSMOS

- Company
- Policy Approval and Rate Tracking
- Producer Licensing (Agents, EBPAs, Corporations, etc.)
- Registered Agent
- Invoice
- Risk Purchasing Group

Oracle/Linux/Developer

- Provider System for PCF that is supported internally

Appex

- FIMMAS for SLIF that supports policy administration

MS ACCESS, MS EXCEL and MS WORD

- Exam Tracking Systems
- Financial Statement Check-in Scanning System
- Company Examination Assessment
- Financial Systems
- Legal

Dbase

- Service of Process

Microsoft Access is now the standard for an ad hoc query and report tool. This allows business partners access to data at any time so that they can perform their own queries and create their own reports. ACL software is being used as an auditing tool for insurance company data analysis on financial and market conduct examinations. Oracle and Delphi software is the application development standard and several systems have been put into production this past year. The NAIC's System for Electronic Rate and Form Filing (SERFF) application has been fully installed and is functioning as a workflow management tool to track approval of policy form filings and submission of rate filings for those insurers who avail themselves of the system. TeamMate software is installed on the LAN and on laptops to manage the documentation of on-site and off-site examinations and studies. TeamMate is used for both financial and market conduct examinations.

Future Application Architecture

The vision for all OCI future applications is integration into two common data bases. Other existing databases will be converted and integrated with either the COSMOS or the OCI common database and application interface.

The workflow of each business application will be examined and, where possible, improved. The applications will reflect this in their design.

Imaging software has been installed and is integrated with the new Complaints system. Other applications have been installed to take advantage of imaging to reduce paperwork and improve the workflow, including agent licensing documents, SLIF documents, rate and policy form documents, and insurance company organizational documents.

OCI will continually seek new technology opportunities to support business needs. This could mean more use of Web-based applications, aggressive partnering with other states, or other types of cooperative development. Such efforts will however be firmly rooted in the OCI programmatic mission.

To achieve integration between data sources, there will be periodic data refreshes of necessary COSMOS data to the OCI common database for use in the Delphi/Oracle and MS-Access applications. The systems currently in dBase, and MS ACCESS (see the listing under Current Applications) will be converted in the future.

Projects to complete include

- Legal Tracking
- Oracle/J2EE Standard
- Examination Tracking
- Financial Statement Scanning

Data Architecture

The ***data architecture*** refers to the organization or design of data (numbers, text, graphics, image, voice, etc.). It deals with developing a plan or model of how the data should be organized to support the business requirements and subsequent building and managing of data structures according to that plan. Data administration refers to the administration of the plans and "models" of the data architecture, while data management refers to the overall management of the actual data (where and how data is collected, accuracy is maintained, data are updated, and appropriate security and privacy controls are implemented).

Current Data Architecture

The current data architecture is based on Oracle's RDBMS. OCI uses two Oracle instances to store data required by the primary production applications. Producer, Company, Rates and Forms, and Invoice data are in the COSMOS database instance. Complaints, Producer Documents, Company Documents, Rates and Forms Documents, SLIF Documents, Legal, Premium Tax, and Financial data are stored in the OCI Common database. Data integrity validation is performed both in the application and database. Periodic data transfers are performed between the instances to refresh data used to validate what is stored in the different instances. SLIF data are validated and stored in APPX tables. PCF data is stored in another Oracle database instance using Oracle rules for validating.

Future Data Architecture

The vision for OCI data is the same as for the applications. That vision is functional integration. Oracle has replaced VS Wang PACE for all OCI data storage. PCF data will be analyzed and included in the Oracle database. The Oracle data model will be continuously evolving based on the regulatory business needs.

Using client/server technology, presentation of data can be managed by business partners at the workstation. The validation and edit functions will be done on database servers. The actual storage of the data will be separate from applications and edits based on client/server protocols. This multi-tiered structure allows for greater flexibility and versatility.

Organization Architecture

The ***organization architecture*** refers to the resources available for the implementation of information technology and how they are used in support of the organization's mission. OCI recognizes that human resources for IT must be deployed in an effective manner. The following concepts will be used for in-house IS staff.

- Appropriate training for IT resource needs, both in-house and off-site, are recognized as an integral part of the IT staff growth.
- The IT Strategic Planning Committee will monitor and review agency projects and priorities in the context of proper and sufficient IT resource utilization. Recommendations will be made to management.
- Project teams will consist of appropriate IT staff and business partner staff to be drawn from all of the affected areas to ensure that projects are completed on time, on budget, and according to specifications.
- IS staff and contractors will support OCI's technology needs.
- IS staff will be assigned to on going needs and contractors will be used for short-term projects and technology expertise.
- Projects will be controlled using Project Management techniques such as change control, requirements documenting, scope definition, project sponsorship by executive staff, project reporting of work and milestones by both the IS staff and business partners working on the project.

Current IT Support

FTE	***Information Services Staff***	***Contractors***
2.00	Technical Support 1 IS Specialist/Network Administrator – Jim Angus 1 IS Senior/LAN Administrator – Scott Bradach	
1.00	Technician Support 1 IS Entry Webmaster/Forms Manager – Marcia Elliott	
7.50	Application Development 1 IS Applications Manager – Steve Nickell 1 IS Project Manager (.50) – Theresa Daggett 2 Programmer/Analyst – Kaz Wojtkow, Robert Climie 1 Programmer/Analyst (PCF Project Only) – Bee Vang	3 Programmer/Analysts Dave Klein; Jayaram Sadasivam; Saikat Sengupta
1.00 1.00 1.00	Telecommunications – Ben Schilling Data Base Administrator – Jack Ellis IT Manager (MIM) – Vacant	

Future IT Support

In the future, OCI will continue to rely on both contracted and permanent staff. OCI recognizes that some tasks are better accomplished in-house, while other tasks would be better completed by the use of contractors or third party vendors. Dialogue will continue on how to best incorporate IS staff. The critical importance of the IT Strategic Planning Committee is again highlighted here, for it is in the IT Strategic Planning Committee where discussion and decisions as to the priority of tasks will take place.

The IT Strategic Planning Committee has defined and recommended a list of IT functions. The functions designated as centralized are supervised by the IT Director. Business area staff can supervise the functions listed as distributed, as appropriate. Some functions may be considered both centralized and distributed as indicated in the following table. The planning team recognizes that some parts of these functions can be performed at the business area. At the centralized level there may be some coordination/oversight or the business area may choose to have the centralized group perform the function for them. As this plan goes forward, those decisions will be made and documented.

Some functions may evolve from centralized to distributed areas (see table below). As this plan goes forward, these functions may gradually move into the business area. Distributed staff can learn all aspects of the business area in order to provide better service to that area. If programming is required, it will either be assigned

to IT staff or it will be the responsibility of the business area. If the programming and analysis is done by vendors and contract programmers, internal staff, either IS or business area, would be responsible for the oversight and liaison with the external IS staff.

An IT project planning process has been created. All business area IT projects are reviewed and prioritized by the IT Strategic Planning Committee. This process is used to monitor how the resources are assigned and teams formed when projects overlap areas.

Function	Centralized	Distributed
Acquisition	X	
Ad Hoc Training		X
Applications Development	X	X
Applications Maintenance	X	X
Batch Operations Support	X	
Data Administration	X	
Database Administration	X	
Database Production		X
Data Entry		X
Disaster Recovery	X	X
Documentation	X	X
EDI Support	X	
External IT Liaison	X	X
Forms Design and Management	X	X
GIS Administration	X	
Hardware Maintenance	X	
Help Desk	X	
IT Management	X	X
IT Project Management	X	X
LAN Administration	X	
Standards and Enforcement	X	X
System Administration	X	
Technical Support	X	
Telecommunications Administrative Support	X	
Training	X	X
WEB development -- Internet	X	
WEB development -- Intranet	X	X

List of Strategic Projects

Projects in Maintenance and Enhancement Activities

	SPONSOR(S)	PROJECTS COMPLETED, PLAN MAINTENANCE/ENHANCEMENTS	
	Sue Ezalarab	MR. Complaint File & Tracking System	
	Mary Sprague	SLIF. Image SLIF Policy Files	
	Laurna Landphier	MR. Match Producer data with DOR data	
	Laurna Landphier	MR. Image Producer Applications (date includes back-files)	
	Sue Ezalarab	MR. Image back-files, rates and policy forms	
	Sue Ezalarab	MR. Image Rates and Policy Forms - new filings	
	Sue Ezalarab	MR. COSMOS maintenance and upgrades	
	Guenther Ruch	R&E COSMOS reports	
	Randy M/ Guenther R	FIN. Desktop and laptop maintenance and upgrades (including TeamMate, etc.)	
	Yvonne Sherry	FIN. Image Incorporation Papers (includes back-files)	
	Randy Milquet	FIN Revenue Collection (Premium Tax, Dues, and Fees)	

Remaining Projects to be Completed During FY03

	Bob Luck	LG. Complete Legal System Conversion	1/31/03
	Mary Sprague	SLIF Upgrade to Version 80 of FIMMAS	12/31/02
	Theresa Wedekind	PCF Image PCF Exemption and certificates and correspondence	Should come after new PCF system
	Clare S.C.	State E-Government, Rule-making -- Phase 1 (Agency Consortium)	5/1/03
	Jim A., Scott B.	IS LAN and Other Hardware Move	4/30/03
	Clare S.C.	OCI Agency Preparation for Move to GEF III Building	4/30/03
	Yvonne/Ben/Matt	OCI IVRU and Phones (a move subgroup)	4/30/03
	Randy M/Clare	FIN Assessment Application	12/15/02
	Randy Milquet	FIN Revenue Collection (Premium Tax, Dues, and Fees)	And Maintenance
	Randy Milquet	FIN Data Entry Interface	6/30/03
	Randy M/G Ruch	FIN Commissioners Annual Report(includes redesign)	6/30/03
	Randy Milquet	FIN Financial Analysis Applications (assets, liabilities, premium volume, etc.)	6/30/03?
	Randy M/Dick H	FIN Internet Filing Project, Compulsory Sec. Surplus form	3/31/03
	Randy Milquet	FIN Data Element for NAIC Info (for Comm's Rept.)	6/30/03
	Mary Sprague	SLIF Implementation of Ins. Financial Mgmt. System	6/30/03

NEW PROJECTS

Priority Group	SPONSOR(S)	PROJECTS PLANNED FOR 2003-05	COMPLETION DATE
1 High 1	Sue Ezalarab	MR SERFF API	12/31/2002
2 High 2	Clare S C/	AS Agency Completion of all Move Elements	6/30/03
3 High 3	Clare S C/Steve N/Jim A	WEB Design Web Architecture – Hardware/Application Development	
4 High 3a	Laurna Landphier	WEB Look up of Agent Information on the Web	
5 High 3b	Yvonne Sherry	WEB Display Public Company Information on Web	
6 High 3c	Sue Ezalarab	WEB Display Public Forms Information on Web	
7 High 3d	Sue Ezalarab	WEB Display Complaint by Company Information on Web	
8 High 3e	Bob Luck	WEB Display Public Legal Information on Web	
9 High 3f	Guenther Ruch	WEB File Complaint Information on the Internet	
10 High 4	Theresa Wedekind	PCF New PCF Provider System	
11 High 5	Clare S C/Patrick B	AS Re-engineer the Inventory & Add to the Intranet.	12/31/2002
12 High 6	Sue/Scott/Randy	MR/AS/FIN Workgroup-LAN services	
13 High 6a	Clare/Scott B	AS Wireless Network Pilot (Possibly timed with move)	
14 High 6b	Sue E / Randy M	MR/FIN TeamMate Remote LAN	
15 High 7	Sue Ezalarab	AS Fax/electronic interface with Complaints System	
16 High 8	Mary Sprague	SLIF Implementation of Ins. Financial Mgmt System	
17 High 9	Theresa Wedekind	PCF Create a Wisc. med-mal claims system	After new PCF Provider System
17b High 10	John Montgomery	AS MS Office Templates/Macro Conversion	3/31/03
18 Med. 1	Randy Milquet	FIN Premium Taxes Enhancements	
19 Med. 2	Randy Milquet	FIN Financial Analysis Applications	
20 Med. 3	Clare S C/Matt B	AS Service of Process – **dBase**	
21 Med. 4	Tim Mero	AS On-line Budget System	
22 Med. 5	Tim Mero	AS On-line Budget Info with Encumbrances	
23 Med. 6	Candy Buckles	AS Personnel/Position Database	
24 Med 7	Kathy Keleher	AS Training System	
25 Med. 8	Clare/Tim/Matt	AS Production Statistics for Performance Data	
26 Low 1	Randy Milquet	FIN Financial Bureau Management Reporting System	
27 Low 2	Randy Milquet	FIN Exam Process – Scheduling, Application, Tracking	
28 Low 3	Matt B	AS Agency Records Tracking Phase I (Central Files)	
29 Low 4	Theresa Wedekind	PCF Image PCF Exemption and Certificates and Correspondence Documents	After new PCF Provider System
30 Low 5	John M/Candy B	AS Tracking office policy and procedure changes	
31 Low 6	Matt Berigan	AS Accommodate Requests for Info on Portable Media	
32 Low 7	Matt B/Judy A	AS Agency Contact/Mailing List Database	
33 Low 8	Andrea Nelson	AS Request for Purchase Authority	
34 Low 9	Clare S C/Matt B	AS Requesting & Paying for Brochures from the Internet	
35 Low 10	Clare S C/Matt B	AS Use State and Agency-Specific On-Line Forms	
36 Low 11	Matt B	AS Create Central State Forms Server Service	

2003-05 OCI INFORMATION TECHNOLOGY PLAN
MAY 2002

SPECIFICATIONS FOR IT PROJECTS

PROJECT NUMBER: 1

PROJECT NAME: SERFF API

PROJECT SPONSOR: Sue Ezalarab

DESCRIPTION: The SERFF API was designed and built to allow both Industry and States to integrate their systems with the SERFF application data. This initial release of the API allow systems to retrieve data from SERFF, but not allow them to input data. The SERFF API developer user guide is available at : http.www.serff.org

MISSION: Leading the way in informing and protecting the public and responding to their insurance needs using electronic means to review and approve policy forms and rates

BENEFITS: Eliminates duplicate data entry and printing and imaging of electronic documents now encountered with SERFF filings that have to be manually entered into the COSMOS policy form and rate system.

Reduction in mailing and processing time due to reduced amount of paper form and rate filings submitted to OCI

SAVINGS: Reduced mailing and postage costs. Reduction in staff time to enter data and image approved forms and filed rates.

PROJECT NUMBER: 2

PROJECT NAME: Agency move to new building.

PROJECT SPONSOR: Clare Stapleton Concord

DESCRIPTION: The agency will be moving to the GEF 3 building. This move will require substantial work on the part of the agency's information systems staff. Some of the activities that will need to be accomplished include:

- design a new server room.
- design new network wiring plans
- set up an Uninterruptible Power Supply (UPS)
- set up Keyboard Video Mouse (KVM) switches
- set up network switches
- set up desktop computers for the entire agency
- set up a new telephone/communications network

MISSION: Part of OCI's vision is to use information technology in appropriate ways.

BENEFITS: The new information systems network and telephone/communications network are necessary for the operations of OCI.

PROJECT NUMBER: 3

PROJECT NAME: Design Web architecture - Hardware/Application Development

PROJECT SPONSOR: Clare Stapleton Concord / Steve Nickell / Jim Angus

DESCRIPTION: **(project information to be provided)**

MISSION:

BENEFITS:

SAVINGS:

PROJECT NUMBERS: 4 through 8

PROJECT NAME: Look up and display OCI information on the Web

PROJECT SPONSOR: Guenther H. Ruch and Various

DESCRIPTION: These projects would allow access to certain OCI information through the Web. These projects encompass access to information via the Web for complaints, legal, insurance company, premium rates, policy forms, and insurance agents. It is envisioned that users of OCI's Web site could access and view public information in OCI's database. An example would be that an individual could use OCI's Web site to inquire on the status of their intermediary license, or their complaint, or look up an insurance company, or look up whether the office has taken an administrative action against a particular agent or insurance company.

MISSION: These projects further OCI's mission to assist the public with their insurance needs and to continue evolution of our e-government initiatives.

BENEFITS: As more of OCI's public information is stored and maintained electronically, this project would allow OCI's customers more direct access to the public information contained in our data base. Users could, on a 24/7 basis, obtain needed information from OCI. Without OCI staff involvement and with instant access, users could more efficiently and completely obtain and utilize the information they are seeking from OCI.

SAVINGS: The potential for resource savings by OCI is great. If people have the appropriate, direct access to OCI's public information, OCI's limited staff resources could be redirected to more of regulatory functions. Staff would not be answering as many phone calls or physically gathering requested information. The office has continuous demands made on its support and professional staff to gather information that, if available directly on the Web, would no longer require direct staff attention. We would envision requiring fewer support staff to maintain OCI records.

PROJECT NUMBER: 9

PROJECT NAME: File Complaint Information on the Internet

PROJECT SPONSOR: Guenther Ruch

DESCRIPTION: Insurance consumers could complete the OCI insurance complaint form and file a complaint with OCI directly from the OCI Website.

MISSION: This project furthers OCI mission to address Wisconsin insurance consumers' insurance concerns and to continue evolving our e-government involvement.

BENEFITS: Complainants would have another means to file insurance complaints with the office. Such complaint filings could be achieved quicker and more efficiently than through the normal mail process and the complainant could receive immediate confirmation that their complaint was filed with the office. OCI could more timely respond to complaints and assist complainants with their insurance problems. Electronically filed complaints could be forwarded more efficiently to insurers or agents and more easily entered into the complaints database, including the imaging database.

There would be more customer satisfaction by giving people another means of filing a complaint with the office.

SAVINGS: The more complaints filed in an electronic format, the less paperwork processed and accumulated by the office. This means less mail handling, such as sorting and distributing. It is anticipated that there would be fewer resources needed to image complaint documentation.

PROJECT NUMBER: 10

PROJECT NAME: New PCF Provider System

PROJECT SPONSOR: Theresa Wedekind

DESCRIPTION: Development and implementation of a new Fund system to include primary coverage certificate filings, exemptions, an integrated billing system and claims system.

MISSION: To provide improved customer service, and to ensure that the information maintained in our data base is accurate and complete.

BENEFITS: Maintenance of accurate and complete certificate and billing information to provide up to date and accurate information regarding primary coverage and fund coverage for the approximate 12,000 Fund participants. To upgrade our billing system to ensure proper billing which will assist in ensuring compliance with regulations regarding Fund participants.

SAVINGS: The new system would include addition controls which would eliminate current system problems which affect accounts and result in incorrect information and increased use of resources to investigate and correct.

PROJECT NUMBER: 11

PROJECT NAME: Re-engineer the inventory and add to the Intranet

PROJECT SPONSOR: Clare Stapleton Concord / Patrick Bass

DESCRIPTION:

The current inventory for OCI provides information that is utilized for GAAP financial reporting, inventory control, risk management, and IT replacement schedules on equipment valued at $5,000 or more (or a conglomeration of items). The new system needs to be more comprehensive; providing ease of use, method of input, and generation of reports.

At this time the exact specification as to what information needs to be tracked has not been determined.

MISSION:

To provide a more comprehensive inventory tracking system for use by the Information Services and the Business Services Units of the Division of Administrative Services.

BENEFITS:

One system that can provide useful/productive inventory tracking while providing users with the necessary accounting, budget, and insurance value information.

PROJECT NUMBER: 12

PROJECT NAME: Workgroup - LAN Services

PROJECT SPONSOR: Sue Ezalarab / Scott Bradach / Randy Milquet

DESCRIPTION: **(project information to be provided.)**

MISSION:

BENEFITS:

PROJECT NUMBER: 13

PROJECT NAME: Wireless Network Pilot

PROJECT SPONSOR: Clare Stapleton Concord / Scott Bradach

DESCRIPTION: The Wireless Network Pilot is a chance for OCI to test and implement a new technology that would have immediate and long term benefits to the OCI LAN Users.

MISSION: OCI's mission is to provide efficient and effective regulation of the insurance industry and to be responsive to consumer and industry needs. New technologies offer the potential to perform administrative and regulatory functions faster or at a lower cost, furthering the agency's mission.

BENEFITS: Wireless LAN systems can provide LAN users with access to real-time information anywhere in their organization. This mobility supports productivity and service opportunities not possible with wired networks. Users would not need to be tethered to a specific location or a desktop system.

Installing a wireless LAN system can be fast and easy and can eliminate the need to pull cable through walls and ceilings. This would allow for the setup of a system virtually anywhere within OCI organization without the dependency on hard-wired network connection. Wireless technology allows the network to go where wire cannot go.

Wireless LAN systems can be configured in a variety of topologies to meet the needs of specific applications and installations. Configurations are easily changed and range from peer-to-peer networks suitable for a small number of users to full infrastructure networks of thousands of users that enable roaming over a broad area.

SAVINGS: While the initial investment required for wireless LAN hardware can be higher than the cost of wired LAN hardware, overall installation expenses and life-cycle costs can be significantly lower. Long-term cost benefits are greatest in dynamic environments requiring frequent moves and changes.

PROJECT NUMBER: 14

PROJECT NAME: TeamMate Remote LAN

PROJECT SPONSOR: Sue Ezalarab / Randy Milquet

DESCRIPTION: The majority of the work done during an examination is done utilizing TeamMate 2000. During the course of an examination, the examiners share a large number of files. Currently examination teams use stand-alone laptops while out in the field. Under the current environment (stand-alone laptops) in order to distribute work to the team, the Examiner-in-Charge (EIC) must perform the following:

1. Create replica file from the master TeamMate project file for each team member and send it to a diskette;
2. Each team member must then load the replica file on their laptop to complete their work;
3. Once the team member has completed the work, he/she must create an update file and save it to a diskette;
4. The EIC must then merge each update file back into the master TeamMate project file in order to review the team member's work.
5. The EIC must then make another replica file for the examiner to give him/her additional work.

If after reviewing the work completed by a team member, the EIC determines that the team member must complete additional work, the EIC must create a replica of the file and give it to the examiner to do the additional work.

For the Financial Bureau, the files that are transferred are larger and zip drives are provided. This is sometimes inefficient as zip drives need to be shared and laptops must have the zip drive installed when they are started for the zip drive to be recognized. For market conduct exams, these files can easily require multiple disks, as these exam teams are not provided zip drives. Even if zip drives were provided for the market conduct exams, the issues currently faced by the Financial Bureau would be present for the market conduct exam teams.

For Market Conduct Examinations, exception reports are produced on a regular basis and given to the company for review and comment. Under the current environment, only the EIC may produce 'exception' reports. This constraint only exists in the stand-alone environment because the automatic reference code (ARC) assigned in a replica file is not always the final ARC. Under the current system, the final ARC is only known after an update file is merged into the master file. An exception can only be given to the company once the final ARC is known.

In addition, the examiners cannot take full advantage of the coaching note function in a stand-alone environment. Nor do the examiners have access to all of the information in the master project file that they may require during the course of their daily work.

Each examination team has access to only one printer although every member on the team requires the ability to print. As such, the only way for team members to print is to unhook the printer cable from the laptop of the last person to print and hook it up to their laptop.

Finally, having copies of all the exam files on one PC will facilitate creating backups. Backups are extremely necessary to ensure the preservation of work performed, as it is all electronic. Under the current environment, back ups must be done by the EIC and each team member to preserve all of the work done.

MISSION: Create a 'network' environment for examination teams in the field.

BENEFITS: This will allow examination teams to focus more on adding value to the actual audit and eliminate the need to create replica and update files. In addition, all team members would have access to the entire project file, the team could take full advantage of the coaching note function, the printer cable would not have to be moved each time a team member wants to print something and for Market Conduct examine teams, exception reports could be prepared by team members in addition to the EIC. A back up of the entire project file could be easily accomplished by a single team member, reducing the risk of losing a part of the examination.

SAVINGS: This project will reduce the amount of time the EIC and other team members must spend on creating and updating files and doing other ministerial tasks.

PROJECT NUMBER: 15

PROJECT NAME: Fax/electronic interface with Complaints System

PROJECT SPONSOR: Sue Ezalarab

DESCRIPTION: To allow Complaints staff to Fax out Complaints to Companies for response and to allow Companies to fax in responses on Complaint files. Faxed in responses would go immediately into electronic workbaskets to be indexed to electronic complaint files.

MISSION: To lead the way in informing and protecting the public and responding to their insurance needs.

BENEFITS: Quicker turn-around time in getting complaints to companies and getting responses into the system and routed to examiners to handle.

Reduce clerical time spent handling both incoming and outgoing mail and scanning hard copies into the imaging system.

Better service to Wisconsin residents due to quicker resolution of consumer complaints by shortening the length of time to get the complaint to the insurer and the response from the insurer to OCI and to the examiner for review.

SAVINGS: Reduced mailing , printing and processing costs. More efficient use of program assistant staff time – staff will have more time available to respond to consumer calls and assist the public with insurance questions

PROJECT NUMBER: 16

PROJECT NAME: Implementation of Insurance Financial Management System (State Life Insurance Fund)

PROJECT SPONSOR: Mary Sprague

DESCRIPTION: The State Life Insurance Fund (SLIF) will purchase an insurance financial management system which will provide insurance specific features which are not available on the SLIF's current system. This system will interface with the SLIF's Enterprise Portfolio System (EDP) and the Annual Statement Automation Product System (ASAP). The sytem will address the requirements of the National Association of Insurance Commissioners (NAIC) mandated insurance accounting standards which go into effect in January 2001. The system will also address audit recommendations which were made by the Legislative Audit Bureau (LAB).

MISSION: SLIF will have a financial management system that interfaces with other software systems, (including WiSMART) by providing better management information, address LAB audit recommendations, and encompass NAIC mandated accounting changes.

BENEFITS: Stream line the financial reporting in both the GAAP financials and annual statement reporting by eventually bringing the production of the financial statements in-house. This would allow the production of the NAIC statements more frequently than annually. We currently do not produce quarterly statements due to an exemption of this office. Provide a more timely production of the annual statement and have more flexibility in problem resolution.

SAVINGS OFFSETS: The integration of systems will allow for a seamless reconciliation between the calendar year-end figures and the fiscal figures of WiSMART. This will assist auditors and help in the immediate recognition of financial events through the various agencies, which impact the financial condition of the Fund.

OTHER SAVINGS: Time will be saved in the process of report and audit information retrieval.

PROJECT NUMBER: 17

PROJECT NAME: Create a Wisc. Med-mal claims system

PROJECT SPONSOR: Theresa Wedekind

DESCRIPTION: The development of a system to create and maintain a comprehensive database of all medical malpractice claims paid in the state of Wisconsin.

MISSION: To provide one place for the compilation of all medical malpractice claims paid information to be accessible to the public.

BENEFITS: Currently, there is no one place in which the public, a prospective employer, or anyone else can access to provide complete information regarding a health care providers claim experience.

PROJECT NUMBER: 18

PROJECT NAME: Premium Tax Enhancements

PROJECT SPONSOR: Randy Milquet

DESCRIPTION: The Bureau of Financial Analysis and Examinations collects, processes, and audits premium taxes, fire dues and fees of all licensed insurers. A system is currently in place to track this information and is on an in-house developed application. There are four enhancements, which did not get included in the original design of the application. These four enhancements are a method to maintain state specific tax information, integrating electronic premium tax filings, integrating electronic financial statement data, and automating the audit process.

In order to audit the premium tax forms, examiners are required to know and understand the premium tax rules for the states companies are domiciled in. These rules are not standard across each state and need to be reviewed and updated annually. These rules should be available by state within the premium tax system. It would be the responsibility of the bureau to maintain these rules.

OCI is considering ways to get companies to electronically file Wisconsin specific forms, of which the premium tax form is one. Electronically filed forms would have to be viewed by the examiners to perform their audit. Viewing these electronic forms should be available within the premium tax system.

Examiners use limited financial information from financial statements filed by the companies to verify information filed in the premium tax form. Financial statements will only be available electronically in the future. The limited financial information could be integrated into the premium tax system. The financial statement information is available to OCI from a database at the National Association of Insurance Commissioners and could be included in OCI's Financial Database.

Auditing of the premium tax forms is a manual process, which in many cases follows specific business rules. Although there are many variations in the calculations needed to be performed, it may be possible to identify states in which business rules could be applied and the process could be automated.

MISSION: To enhance the premium tax system to include tax rules for states, integrate electronic premium tax returns (when the office gets to that point), integrate financial data needed to audit the forms, consider whether automated auditing of the forms would be possible.

BENEFITS: These enhancements integrate and make available to examiners all of the information they would need to process tax returns in one place and increasing the standardization of the process. Making more information available electronically will limit the amount of paper, which would have to be processed. Automating the audit process would reduce the number of returns that would have to be audited.

SAVINGS: These enhancements would speed up the premium tax processing and allow the examiners to spend more time on their primary duties, performing financial examinations and analysis.

PROJECT NUMBER: 19

PROJECT NAME: Financial Analysis Applications

PROJECT SPONSOR: Randy Milquet

DESCRIPTION: This project includes integrating:

- General Financial Screen for the whole office (one screen lookup)
- Analysis Screens, both on an annual and quarterly basis which would include key financial information on companies.
- Create an electronic monitoring file that would include and index audit guides, review summaries, required company filings (scanned), correspondence to/from company (scanned), and reports from applications developed within the Bureau of Financial Analysis and Examinations. These documents should be integrated where possible to eliminate duplication of entering in information.
- A tool that would facilitate and manage the workflow of the analysis process and provide management reporting.

MISSION: This project is intended to automate and integrate what is now manually performed and haphazardly integrated. It will insure that access is available both in-house and remote.

BENEFITS: OCI's main goal is to have a healthy insurance industry. Better integration between OCI systems will allow for quicker and more in-depth response to inquiries. This will allow for improved monitoring of the insurance industry, which will allow OCI to better respond to adverse situations.

SAVINGS: Integration replaces and automates mechanical and clerical functions freeing examiners to devote more time to analytical functions.

PROJECT NUMBER: 20

PROJECT NAME: Service of Process - dBase (Administrative Services)

PROJECT SPONSOR: Matthew Berigan

DESCRIPTION: This system should combine the information system (Registered Agent) with a process to accomplish service on the entities that can be served by OCI under the statutes (Service of Process). This database should have limited access because accuracy of information regarding Service of Process given out is critical. The system should be on a managed server (currently on a desktop PC).

Service of Process:

- Used for any entity that OCI can serve, including authorized insurers if they are unable to serve.
- OCI maintains name and address where we can serve the process for entities that give us a special address.
- Certified mail requirements need to be met.
- First if we have address, then NAIC address for home office, then address the attorney gave us.
- Generate certificate and certified receipts and maintain a record of the service and address.
- Searchable by certificate number, law firm, case number, plaintiff last name.
- Have a way to update names and addresses and keep history.
- Periodically mail information to company and ask for updates of the information. (This idea should be used for all agency addresses and should be pursued.)
- OCI must physically keep the following documents: service of process certificate, correspondence from the attorney, certified receipt, actual documents served (could be kept in image format?).
- Service should be sent out the same day of receipt.
- Current RDA (#32) is for paper only. Please consider RDA needs.

MISSION: This combined system will provide an improved service to both the agency staff and the public. This comes in the form of one database, less chance for error, easy search capability, and less employee time involved.

BENEFITS: With the combined system, there will be improved online lookup capability and better potential for future Internet lookup capabilities. Relocation to a server will enhance security against loss of data.

SAVINGS: Decentralized access to SoP data will speed access to information by office staff.

PROJECT NUMBER: 21

PROJECT NAME: Online Budget System

PROJECT SPONSOR: Tim Mero

DESCRIPTION: OCI submits its biennial budget to the Department of Administration on September 15th of every even numbered year. The current budget is completed using a series of Word documents and Excel spreadsheets. Due to this combination of word processing documents and spreadsheets, the 272 page biennial budget is hard to convert into a format easily placed on the Internet.

There are many manual calculations and linking of spreadsheets that must be done to develop the budget document. The budget document is submitted in hard copy version to DOA. The staff at DOA then have to key the information into their budgeting system.

This project would automate the budgeting process. The various budget forms (e.g. B-2, B-3, B-7, B-8, B-10, etc.) would be automated and linked to provide totals where appropriate. The budget document will not only be able to be printed out, but will also be able to be submitted electronically to DOA and loaded onto the Internet.

MISSION: One of OCI's goals is to use information technology in appropriate ways. This is an excellent opportunity to accomplish this. Automating the biennial budgeting process will reduce staff time and increase accuracy. Manual calculations will be eliminated. OCI will be able to electronically transmit budget data to the DOA budget system as well as to the Internet.

BENEFITS: Reduced staff time and increased accuracy and efficiency. The budget will also be loadable to the Internet so that members of the public can view the information.

SAVINGS: There will be substantial savings to staff time. Also savings in printing costs will occur since the budget can be loaded to the Internet.

PROJECT NUMBER: 22

PROJECT NAME: On-line budget information with encumbrances.

PROJECT SPONSOR: Tim Mero

DESCRIPTION: This project would create an easy to read, easy to use system that will allow managers and supervisors to review their budget at any given point in time. It would include information on budget, expenditures, encumbrances, and projections of future expenditures.

MISSION: OCI managers and supervisors are responsible for managing their units operations within the budget that has been allocated to them. In order for them to effectively manage their budget, budget status information should be easily accessible to them.

BENEFITS: Easily accessible budgetary information for use in making management decisions. Budget projections are currently being done manually. This project would automate the process and save staff time.

SAVINGS: Savings in staff time will occur because the process will no longer be done manually. Additional savings will occur because managers and supervisors will be better able to monitor their budgets.

PROJECT NUMBER: 23

PROJECT NAME: Personnel/Position Database

PROJECT SPONSOR: Candy Buckles

DESCRIPTION: This system will be a repository of employee current and historical information. It should contain the following subsections:

Human Resource: Budget, salary, training, demographics (age, race, sex, disabilities, etc.), social security number, position number, various history elements, position information history, supervisor, designations, awards (salary, etc.), PPD, education, committees, floor captains, EMT, CPR, languages, emergency contacts, photo ID, recruitment information.

Training: Demographics, position, telephone number, salary, budget, who employee reports to, work unit, books checked out, designations.

Staff Services: Substitute skills, languages spoken, parking assignment, and keys.

Management: Salary, training, history of employee and position, progression statistics, emergency contacts, languages, demographics for unit, exit interview information, cellular phone number, pager number, appointed position information including reinstatement and restoration rights, surplus position numbers, ethics report.

Application Systems: Name, position, unit of work, signature and signature block, supervisor, location, work schedule, internal work phone, fax number, internet e-mail.

Payroll: Benefits, demographics, emergency contacts, salary, time and attendance records, tracking new employee deadlines, module for exiting, monitoring outside agency employment, military status.

MISSION: This project is intended to expand and enhance a core application that now exists in separate applications with limited access to the information. This system will provide a core human resource function but also provide other opportunities to improve service to the agency (supervisors, management, and individual employees).

The application will ensure confidentiality of certain data elements.

This project will allow management to have better analytical tools to manage the agency resources.

BENEFITS: There will be better service for supervisors and managers. Employees will for the first time have easy access to their own personal data. This will help ensure that staff information is kept up to date. Some reports will be done automatically and the data will be available for ad hoc/mandatory reporting. The net result will be improved management information.

SAVINGS OFFSETS: The agency currently has two HR positions. Comparable agencies usually have a staff of three for this function. This system should enable the agency to defer the cost of a third HR position for the foreseeable future resulting in a saving of $50,000 for every year deferred.

Updated 3/7/02

PROJECT NUMBER: 24

PROJECT NAME: Training System

PROJECT SPONSOR: Kathy Keleher

DESCRIPTION: By law, agencies are required to keep employee training records. The following list is presented as part of a project that will help keep these records electronically and easily accessible.

- Revise the data structure to link to existing employee and budget information.
- Create new on-line forms, which allow user input replacing the existing yellow training request.
- The new form filler will enter the needed data into the database.
- This form needs to have the capability of routing for appropriate approvals.
- The existing training inventory sheets should be loaded to set up a preplanned training program for each person.
- A quarterly report routed to supervisors detailing training attended by each individual in the section should be programmed. This report should be available on-line for employee and supervisor lookup at any time.
- There should be a reconciliation with the actual WiSMART data for the standard budget reports.
- There should be a list of continuing education credits for each person.
- Existing (or repeating) courses should be in a pick list on the training form screen.
- Data should be able to be viewed in different ways (e.g., sort requests by approval status, sort forms by budget requirements, sort all approved reports by work unit, etc.)
- Fields that need to be filled in will have edits.
- Link out-of-state travel form to training request if appropriate.
- When the travel voucher goes to the accountant, there must be a way that the accountant can check on appropriate training and out-of-state travel form approvals.
- Add a report that breaks down the units, has the amount budgeted for the unit, how many FTEs for the unit, how much the total salary is for the unit, the budget amount, and a percentage of the unit payroll for the training budget.
- The OCI system should be integrated with the Vendor File at DOA.
- The system should be linked to e-mail for notifications.

MISSION: This project is intended to provide an improved training system. The integration with other systems (budget, employee, WiSMART, vendor files) will expand information sharing. This project will enhance a supervisor's ability to effectively manage the agency's most expensive resource, the employees.

BENEFITS: As the insurance marketplace changes, new regulatory knowledge and skills are required. Keeping existing employee skills up-to-date is less expensive than recruiting and training new staff. In addition, this project is part of giving employee input into managing their own careers. By giving access to both staff and supervisors, this project will foster better communication between supervisor and employee.

SAVINGS OFFSETS: This project generates two types of salary offsets. The first is through deferring the need for additional training staff. The office currently has one training officer. The increasing workload will require an additional position in the next biennium or the one after. By replacing several manual subprocesses and enhancing other parts, the automation of this system will delay the need for the additional position resulting in a cost savings of ($50,000) for each year delayed.

The second type of savings is in restraining the need for increased program unit staff. OCI has achieved high levels of staff efficiency in program units by a strong training program. This means that additional staff needs are restrained. The cost savings for each position deferred are significant. For instance, one financial examiner costs about $40,000 per year for every year deferred.

Updated 3/7/02

PROJECT NUMBER: 25

PROJECT NAME: Production statistics for performance data.

PROJECT SPONSOR: Matthew Berigan / Tim Mero

DESCRIPTION: Production performance statistics are the measuring tool against which agency critical indicators are measured. Current disperse methods for collecting that data are diverse. Statistics are not only used in providing clear indications of how well the agency is meeting its mission but also provide an objective view for all program areas in viewing activities, the ebb and flow, for all other program areas. Some statistics are reviewed on a weekly basis. Other statistics are viewed annually or when necessary.

As a regulatory agency, OCI has long been concerned with performance. OCI uses performance based budgeting and assesses the outputs and outcomes of the services provided to make sure that it is using its resources appropriately and efficiently.

MISSION: Develop a centralized repository for all critical indicator statistics in which appropriately authorized staff can provide regular updates in a simple fashion. Entry forms for the collected data should be easily accessible from any OCI desktop. Data originated from other office applications must be easily routed to the central repository automatically. Provide online report views to that centralized data for easy display of current collected material in a manner consistent with the following examples:

- Complaints logged (from Complaint System)
  - Number of complaints logged last week (closed, remaining open)
  - Number of complaints logged last month (closed, remaining open)
  - Number of complaints logged during indicated period (enter a date range)
- Reception Desk Phone Log
- Daily calls logged (yesterday's total, after-hour or weekend, avg. response time, abandoned calls)
- Weekly calls logged (last week's total, after-hour or weekend, avg. response time, abandoned calls)
- Monthly calls logged (last month's total, after-hour or weekend, avg. response time, abandoned calls)
- Call logged by period indicated (enter a date range)
- Central Files
- Mail Desk
- Help Desk problems reported

- Performance measures used in the biennial budget process
- Number of financial examinations
- Number of market conduct examinations
- Consumer complaints handled in a timely fashion
- Policy form reviews
- Development and distribution of consumer education materials
- Updates to the Web site.
- Etc.

BENEFITS: A common repository for performance data assures that 1) data is current and collected as required, 2) reporting of performance data is easier and can be assembled as needed when needed. The ability to view performance statistics as needed allows not only the flexibility in developing staff schedules to meet the peaks and valleys of regular business cycles but additionally allows staff from various program areas to have a clearer understanding of the overall business efforts ongoing in areas where they are not directly involved. This improves overall awareness of agency efforts to meet the goals of the mission statement.

SAVINGS: The most immediate savings are for those that must currently assemble data from disperse sources to compile reports and restructure the supplied data into appropriately formatted reports. The data can and should be made viewable in the format in which it will be reported. Additionally, if designed with data entry in mind, entry of data can be made from desktop browser-based entry screens and not require additional knowledge of other desktop tools nor require additional time to locate and open files where data is stored. Links to procedures will be established directly from the data entry screens. The data will be stored centrally and securely backed up.

PROJECT NUMBER: 26

PROJECT NAME: Financial Bureau Management Reporting System

PROJECT SPONSOR: Randy Milquet

DESCRIPTION: The system should make all insurance company data, whether at NAIC or OCI, available in a user-friendly format for reporting and analyses. The system should contain standard reports, such as the Domestic Summary (DOSMRYxx.XLS), and be able to accommodate ad hoc reporting. Any ad hoc reports will be able to be saved as standard reports.

MISSION: This system will improve the current reporting and analysis capability. It will also give better reporting access to financial staff. Speed and accessibility to the data will be increased, enhancing the quality of analysis.

BENEFITS: The new system will be more flexible and user friendly, enhancing analysis capability for monitoring the health of the insurance industry.

PROJECT NUMBER: 27

PROJECT NAME: Examination Process - Scheduling, Application, and Tracking

PROJECT SPONSOR: Randy Milquet

DESCRIPTION: The Bureau of Financial Analysis and Examinations must schedule the financial examination of companies. This project will provide integrated historical exam information to facilitate more efficient scheduling.

The system should generate calendars of examinations (including dates), expected person-days, and resources available. Input constraints should be automatically applied so that a 'best fit' scenario can be developed.

This system must contain a history of events, staffing, and key dates concerning an examination. Two prior examination records will be stored for each domestic company.

Most domestic companies, by statute, are required to be examined by the Commissioner's Office at least every five years.

A schedule of examinations is presented to support staff, who issue call letters to the examinees and the NAIC. The examinee call letter includes the notice of exam and examiner in charge. The NAIC call letter includes the name and address of the examinee, expected fieldwork dates, reason for calling the exam, scope (limited, targeted, compliance, association), date of prior exam, and EIC.

The support staff then orders up old work papers using documents in the associated record center box number. Support staff logs in events and transactions associated with the examination.

MISSION: The system will improve the efficiency of managing examination personnel.

Automating the examination tracking process will reduce the time involved as well as reduce errors. The system should generate automatic notification for overdue events. Management reporting should be substantially enhanced. Integration with exam scheduling is critical.

BENEFITS: This project will reduce exam preparation and completion time. Standardized applications will serve as training tools for current and future examiners. This will help meet the performance standards that are set in the NAIC accreditation program. More automation will allow for more in-depth analysis of companies.

OCI's main goal is to have a healthy insurance industry. Better control of examination tracking will provide improved timeliness of report issuance (key accreditation standard) and monitoring of insurers. It also will provide improved input into future examination scheduling.

OTHER SAVINGS: An automated portable environment will save storage space and costs.

PROJECT NUMBER: 28

PROJECT NAME: Agency records tracking phase 1 (Central Files)

PROJECT SPONSOR: Matthew Berigan

DESCRIPTION: Replace numerous paper and Access-based methods for tracking agency records such that all OCI staff have search and display capability to determine file locations and essential records retention information about the records. Provide Central Files with tools used to manage those records. Define basic record management functions for future systems development.

Phase 2 and beyond must consider association of electronic-based records to online RDA policies and retention requirements to disassociate backups (used for disaster recovery) from retention (includes deletion) policies often, but not always, mandated by state statutes.

MISSION: Provide a single point of information (with links where possible) for all of the agency records in order to meet the departmental record keeping needs as well as the record keeping needs as mandated by state statutes.

BENEFITS: An organized record tracking tool is required to meet the demands of electronic records management as well as providing all staff direct access to knowledge necessary in properly managing the records used within their program areas as well as records used throughout the agency. By having centralized and accurate information about all records, this agency will dispose of records exceeding retention needs more quickly and locate paper files that are currently misplaced, misfiled, or lost. Compliance with statutes and Administrative Rule requirements becomes possible.

SAVINGS: Future system development requires knowledge of record retention policies to build basic records management function into such development (or verify that they are not required).

PROJECT NUMBER: 29

PROJECT NAME: Image PCF Exemption and Certificates and Correspondence Documents

PROJECT SPONSOR: Theresa Wedekind

DESCRIPTION: Implementation of a system to image certificate filings, exemptions and other Fund documents currently microfiched.

MISSION: To maintain a cost-effective method of storing information necessary for the operation of the Fund.

BENEFITS: All documents would be readily accessed and legible. Currently the fiched documents are difficult at time to read which can result in errors.

SAVINGS: Reduced need for storage space, and cost savings from the current use of an outside vendor to fiche the paper filings.

PROJECT NUMBER: 30

PROJECT NAME: Tracking office policy and procedure changes.

PROJECT SPONSOR: Clare Stapleton Concord / Candy Buckles

DESCRIPTION:

It has been identified that the agency needs to track the creation and revision dates of all policies and procedures. We are seeking a method in which the author of the policy or procedure will be automatically notified every 3 years that the information needs to be reviewed.

MISSION:

This project is intended to provide an improved status tracking system of policies and procedures. This project will enhance our ability to effectively manage the development and maintenance of policies and procedures used by the entire agency.

BENEFITS:

This will help ensure that information provided to staff is kept up to date and in at timely and efficient manner.

SAVINGS:

While it is difficult to calculate actual $ savings, it is expected that less time will needed by staff in researching policy and procedure information.

PROJECT NUMBER: 31

PROJECT NAME: Accommodate requests for information on portable media

PROJECT SPONSOR: Matthew Berigan

DESCRIPTION: Develop a centralized function for creating multiple media formats of records from paper, microfilm, or electronic sources that can be placed on portable media and contains any necessary tools for recipient to view and print representations of those records.

MISSION: Eliminate the need to send large volumes of paper via costly methods to meet requests of open records requests as well as to assist agency staff in creating their own portable media as needed.

BENEFITS: Mailing costs are reduced. Delivery of requested materials can be immediate (electronically or via the web). Special accessibility questions are directed to a single point to maintain consistent results.

SAVINGS: Postal or overnight delivery costs can be reduced significantly. Incorrect record delivery can be determined immediately by recipient and rectified in a more timely fashion.

PROJECT NUMBER: 32

ROJECT NAME: Agency contact / mailing list database

PROJECT SPONSOR: Matthew Berigan / Judy Arawinko

DESCRIPTION: The essential data elements of a list could include: name, address(s), title, job title, company name, degree/designation, phone number (business/home), fax number (business/home), salutations, e-mail address, inter-d designation, and grouping indicator. Other data elements may be list-specific and will be analyzed in-depth when the project begins.

This system is intended to be used agency-wide. The following is a list of ideas for what should be included in the project analysis phase.

- How big should a list be? (More than one name/address and used more than once.)
- Not duplicate company system labels but make sure company names/addresses can be accessed from within the system developed.
- Not duplicate producer system addresses but make sure producer names/addresses can be accessed from within the system developed.
- Search capability (by owner name, addressee name, group, and area).
- Notification of an addressee name/address change.
- For data entry, set up structure so that you can select an existing addressee and connect it to another list. If it does not exist, it is an add.
- Addressee information only in system once but with multiple group indicators.
- Multiple addresses per addressee.
- Option of printing labels, merging to document, list, electronic version of database.
- Electronic e-mail option.
- Electronic fax option.
- History of addresses and indicators.

MISSION: This project will provide a central database for agency contacts. The information update notification will reduce duplication of data entry and duplicate lists. This application will allow for efficient lookup of current and past information on contact list information.

BENEFITS: This project will reduce the duplication of data entry and maintenance of multiple lists. It will save both time and paper because of easy search features. It would increase customer satisfaction.

SAVINGS OFFSETS: The savings generated by this project are diffused throughout the agency.

PROJECT NUMBER: 33

PROJECT NAME: Request for Purchasing Authority

PROJECT SPONSOR: Andrea Nelson

DESCRIPTION: Creation of a system is desired to track both progress and history of requests for purchasing authority (RPAs) and the resulting contracts for services. The system would replace information currently tracked both in electronic spreadsheet and paper form, thereby providing centralized data collection, enhanced query/reporting capabilities and, ideally, automatic tickler notification features as well.

Data fields would include: RPA number, contract name, responsible program staff, responsible purchasing staff, union notification letter date, justification memo to commissioner date, request for proposal drafted, contract sample drafted, vendor list developed, RPA checklist completed, included on quarterly procurement plan submitted to DOA, request for proposal (RFP) issue date, legal notice dates, names of proposing vendors, evaluation team meeting dates, letter of intent to award date, protest date, appeal date, contract signed date, purchase order encumber date, affirmative action (AA) plan submitted, AA plan reviewed, AA plan accepted, contract start date, contract first renewal date, contract second renewal date, contract third renewal date, and estimated value of contract.

Desired features would include:

- Automatic tickler notification to purchasing agent and program person based on contract expiration date. Tickler would signal that request for proposal needs to be developed so that the contract for services may be rebid.
- Other notification features based on contract-signed date
- Ability to query by contract name, program name, dollar value of contract, etc.

MISSION: This application would facilitate tracking RPAs in progress as well as providing historical look-up and query features. The automatic tickler feature would help assure that expiring contracts are not allowed to lapse unintentionally.

BENEFITS: Use of the database would increase administrative efficiencies by tracking all phases of RPA, RFP, and contract development and renewal in a unified system. Historical records would also be more easily accessed via this system.

SAVINGS OFFSETS: OCI currently has annual contracting at over $5 million. The management of these highly technical and specialized contracts is vital to the ongoing functions of the agency.

PROJECT NUMBER: 34

PROJECT NAME: Requesting and paying for brochures from the Internet

PROJECT SPONSOR: Matthew Berigan

DESCRIPTION: Pending state standards for accepting payment via the web the focus of this project is to make citizen request for no-cost brochures (all requests that require a charge require additional contact with OCI to establish a means for payment) a more efficient process and available via a web interface. A citizen will be able to select desired publications from a publication library (also view the publication if it is in viewable form), enter a delivery address, submit the request and receive validation of the sent request. Submitted requests are forwarded to a publications email address (publications@oci.state.wi.us). Staff will produce mailing labels and fill the order from the request.

MISSION: Improve delivery processes for the provision of information to the public.

BENEFITS: Fewer contacts will need to be made in obtaining desired publications. Agency staff will also be able to use the same tool for requesting brochures for direct contacts that they make (e.g. Complaints). Better tracking of publication usage (data) can be collected to best determine usefulness of publications for the public, stocking level patterns to save printing costs, needs to better market available material.

PROJECT NUMBER: 35

PROJECT NAME: Use state and agency specific on-line forms.

PROJECT SPONSOR: Matthew Berigan

DESCRIPTION: This effort will be a linked listing of all available OCI Intranet online forms as well as all other OCI Internet forms available online. Other important state, NAIC, or requested form links can be added via requests to Staff Services.

MISSION: Provide a single library of all online forms useful to OCI staff.

BENEFITS: Facilitates finding forms quickly without having to search through procedures where they are often embedded.

SAVINGS: This agency-wide resource will reduce time in finding forms that are available online.

PROJECT NUMBER: 36

PROJECT NAME: Create central state forms server service.

PROJECT SPONSOR: Matthew Berigan

DESCRIPTION: Create a single repository for agency and citizen-facing forms and provide technical assistance in establishing forms there and additional linkages to agency or DEB-based databases for movement of form field data and authentication.

MISSION: Standardize delivery mechanisms for forms used by state agencies to both facilitate citizen access to a complete library of forms and also to enable agency staff in more rapidly deploying forms that can be printed and returned to agencies or filled out online and data is delivered to appropriate repositories or data collection points.

BENEFITS: This portal to government forms should better meet citizen expectations (of E-Government) in locating forms required to interact with governmental entities. All forms should be printable and returnable via postal services. All forms should also allow entry of data into form fields before printing. Least error-prone, online delivery of the data from forms can speed government response to citizens and save form processing and mailing costs.